

FY 2006-2007

L S T A GRANTS
H A N D B O O K

Utah State Library Division
August 2006

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PREFACE

The authorization of the new federal *Library Services & Technology Act* on October 1, 1996 and its subsequent reauthorization in 2003 marks a new direction for supplemental funding opportunities for libraries. The *Act* requires each state to focus its grant program on two areas: 1) improving information technology services and 2) improving access to information to all categories of underserved populations. Eligibility status includes public, academic, school library media centers, private and research libraries, and library consortia. The *Act* strongly encourages collaboration, partnerships, and cooperative ventures among libraries in linking electronic information technology, services or programs. Results of the impact of LSTA's first five years can be found in the *LSTA Five-Year Evaluation Report* located at http://library.utah.gov/grants_funding/lsta_five_year_plan/index.htm.

This *Handbook* reflects the fifth year of the Utah State Library (USL) Five-Year Plan and incorporates outcome-based (project or program) evaluation requirements for federally funded projects. It contains all the elements necessary for applicants to apply for FY 2006-2007. Applicants are encouraged to contact the Grants Coordinator, (801-715-6742), for clarification and/or answers to their questions. Questions about the fiscal administration of the LSTA program may be directed to the Business Office, by telephone at 1-800-662-9150 or 801-715-6777. USL's FAX number is 801-715-6767.

The Institute of Museum and Library Services (IMLS) administers the LSTA program at the federal level. The Catalog of Federal Domestic Assistance (CFDA) number for LSTA is 45.310.

All intent to apply forms, grant applications, reports, and general correspondence regarding the LSTA program should be addressed to:

LSTA Grants Coordinator
UTAH STATE LIBRARY DIVISION
250 North 1950 West, Suite A
Salt Lake City, UT 84116-7901

LSTA GRANT CALENDAR
FY 2006-2007
(Subject to Congressional Appropriation)

September 4, 2006 (Monday)

Fall Round opens for Mini and Regular Grants

September 8, 2006 (Friday)

LSTA Program & Grant Writing Workshop at the Utah State Library Division

September 15, 2006 (Friday)

"Required" Intent to Apply forms due for Mini and Regular Grants

September 29, 2006 (Friday)

Applications due for Mini and Regular Grants

November 3, 2006 (Friday)

LSTA Advisory Council review of Regular Grants

LSTA Advisory Council recommendations presented to State Librarian

November 2006 (TBA)

State Library Board decisions on Major Grants

December 4, 2006 (Monday)

Announcement of all Fall Grant awards

January 2, 2007 (Monday)

Spring Round opens for Mini, Regular and Major Grants

January 19, 2007 (Friday)

LSTA Program & Grant Writing Workshop at the Utah State Library Division

LSTA Grants Administration Workshop for Fall Round recipients

February 2, 2007 (Friday)

"Required" Intent to Apply forms due for Mini, Regular and Major Grants

February 16, 2007 (Friday)

Applications due for Mini, Regular, and Major Grants

March 2007 (TBA)

LSTA Advisory Council review of Regular and Major Grants

LSTA Advisory Council recommendations presented to State Librarian

March 2007 (TBA)

State Library Board decisions on Major Grants

April 2, 2007 (Monday)

Announcement of all Spring Grant awards

April 13, 2007 (Friday)

LSTA Grants Administration Workshop for Spring Round Grant recipients

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FY 2006-2007 LSTA GRANTS HANDBOOK

I. LSTA BACKGROUND

The Institute of Museum and Library Services, an independent Federal grant-making agency, supports the nation's 15,000 museums and 122,000 libraries with leadership, innovation, and learning opportunities. The Institute also promotes partnerships to expand the educational benefit of libraries and museums. Created by the Museum and Library Services Act of 1996, P.L. 104-208, IMLS administers the Library Services and Technology Act and the Museum Services Act. In 2003, Congress reauthorized the Museum and Library Services Act, P.L. 108-81, reaffirming the vital role that museums and libraries play in our communities. The Institute receives policy advice from the National Museum and Library Services Board.

- A. **Purposes** of the amended *Museum and Library Services Act of 2003* (known by its short title: the "Library Services and Technology Act")

"(1) to consolidate Federal library service programs;
(2) to promote improvement in library services in all types of libraries in order to better serve the people of the United States;
(3) to facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry; and
(4) to encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public."

- B. **Uses of LSTA Funds by libraries for:**

"(1) expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
(2) developing library services that provide all users access to information through local, state, regional, national, and international electronic networks;
(3) providing electronic and other linkages among and between all types of libraries;
(4) developing public and private partnerships with other agencies and community-based organizations;
(5) targeting library and information services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
(6) targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line. . ."

II. LSTA IN UTAH

The Institute of Museum and Library Services allocates annual LSTA appropriations to each state library to expend these funds according to its own Five-Year Plan designed to improve library programs, technology, and service. The LSTA 2006 appropriation for USL is \$1,658,384. Most of the LSTA funding supports statewide library services, such as *PIONEER* databases, continuing education and library development, lender support services, and volunteer services and computer Braille services for the Library for the Blind and Disabled. However, \$600,000 each year is set aside for a Competitive grants program for library grant projects reflecting three goals of the Utah LSTA Five-Year Plan, 2003-2007.

The State Library Board reviews the anticipated funding for the LSTA subgrant program and approves an overall amount for the annual competitive grants program. Each year, the State Library Board approves funding allocations for the fall and spring rounds of the FY 2006-2007 LSTA Grant competition. Traditionally, the Board has allocated \$75,000 for Mini Grants; \$150,000 for Regular Grants; and \$150,000 for a spring round of Major Grants. Funds unexpended in the fall round are usually carried forward to the spring round.

III. PURPOSE OF THIS HANDBOOK

The *Handbook* is intended to bring LSTA Competitive Grant Program information together in one source and to help all applicants with the application process. Applicants are also encouraged to familiarize themselves with the *LSTA Five-Year Plan, 2003-2007* before reading this *Handbook*. The *Handbook* contains basic information, general instructions and forms necessary for applying for the FY 2006-2007 *Library Services and Technology Act (LSTA)* competitive grants. Later sections of this handbook are designed to assist the grant recipient in project implementation and grant administration.

The *Utah LSTA Five-Year Plan, 2003-2007*, this *Handbook*, the *LSTA FY 2006-2007 Grant Calendar*, and all required forms are posted on the State Library Division website at http://library.utah.gov/grants_funding/lsta/index.htm.

LSTA grant round announcements will be posted on the ULN, UALC, and ULMNET lists prior to each grant round. To subscribe to the ULN list, contact Pam Barringer, Information Resources (801-715-6763) or pbarringer@utah.gov.

Contact the USL Development Grants Coordinator, (801-715-6742) for assistance in preparing the grant application.

IV. FY 2006-2007 LSTA COMPETITIVE GRANTS PROGRAM

The grant categories correlate to the Goals described in the *LSTA Five-Year Plan, 2003-2007* located at http://library.utah.gov/grants_funding/lsta_five_year_plan/index.htm. The grant categories below are not listed in order of priority.

A. Grant Categories

1. **Technology Infrastructure.** (*LSTA Plan, Goal 1*) Enable Utah's libraries to maintain an up-to-date and robust technology infrastructure in order to assure that Utahns can access networked information efficiently and effectively through their libraries. Technology infrastructure refers to computer hardware and software that accesses the Internet; it may include Internet workstations, telecommunications upgrades, integrated system upgrades, and web-based catalogs. Newly certified public libraries may apply for basic computer technology which encompasses the acquisition, installation, and maintenance of library information technology necessary to provide automated circulation and/or bibliographic access; initial hardware, software, sufficient memory, storage, peripherals, public access terminals and/or workstations, and computer furniture.
2. **Networked Information.** (*LSTA Plan, Goal 3*) *Support the acquisition, development and use of Internet-based full text/full image electronic content for Utah libraries and their users so that Utahns can use a rich diversity of digital materials from their libraries and homes.* Among materials suitable for digitization are photographic negatives, glass plate negatives, photographic prints, sheet materials such as musical scores, maps, posters, drawings, local Utah newspapers with copyright permission, and material in the public domain published before 1865.
3. **Enhanced Access to Library Resources.** (*LSTA Plan, Goal 5*) *Serve targeted populations in Utah that require customized assistance in accessing library and information services by assisting Utah's libraries to acquire special equipment, hardware and/or software, to build collections in customized formats or in languages other than English, or to offer customized training opportunities, in-house or outreach programs.*

Customized Service Grants can be used for assistive technology, software and equipment for the physically disabled and the wheelchair-bound; large screen monitors for the visually impaired; audio enhanced software for the hearing-impaired; and remote dial-in access capability for homebound patrons. (See Appendix C for recommendations of specialized equipment for the blind, visually impaired and learning disabled).

Customized Service Grants can also be used to access library catalogs in other languages; for collection development in special formats; for cooperative collection development projects; to support literacy programs with training, technology, products, and classes; for training all disadvantaged groups in accessing electronic resources; supporting library services to the institutionalized; and for customized training opportunities, in-house or outreach programs.

For assistance with collection development and programming for Spanish-speaking populations, libraries are encouraged to contact REFORMA *de Utah*, a chapter of the national REFORMA organization, an affiliate of the American Library Association. Its purpose is to improve the full spectrum of library and information services for the 22.3 million Latinos residing in the U.S. REFORMA *de Utah*, can help libraries in the following areas: translation assistance, training, collection development and information about vendors of Spanish language materials, programming, outreach to the Spanish speaking and Latino populations (children, YA, adults), promotional strategies, idea sharing, and recruitment. Contact: Juan Tomas Lee, Utah State Library, 801-715-6769 or jtleee@utah.gov or REFORMA *de Utah*, P.O. Box 521271, Salt Lake City, UT 84152-1271.

B. Grant Funding Levels

1. Mini Grants (Up to \$7,500)

- a) Mini Grants will be offered twice a year. Approximately \$150,000 (or \$75,000 each round) will be available in FY 2006-2007 for library projects described above.
- b) The USL staff and, when required, individuals with special technical expertise, will review the Mini Grant *Applications*. The State Librarian will approve the Mini Grant *Applications*. The LSTA Advisory Council will act as the appeals body for Mini Grants.
- c) Mini Grants do not require matching funds.

2. Regular Grants (from \$7,501 to \$74,999)

- a) Regular Grants will be offered twice a year. Approximately \$300,000 (or \$150,00 each round) will be available for library projects as described above.
- b) The LSTA Advisory Council and, when required, individuals with special technical expertise, will review the Regular Grant *Applications*. The State Librarian will approve the Regular Grant *Applications* based on the LSTA Advisory Council recommendations. The State Library Board will act as the appeals body for Regular Grants.
- c) Regular Grants require matching funds of 25% of the total cost of the project.

3. **Major Grants** (\$75,000 and over)
 - a) Major Grants are offered in the spring round only. Traditionally, the State Library Board allocates \$150,000 for Major Grants, but may also add unexpended funds from the fall round.
 - b) The LSTA Advisory Council and, when required, individuals with technical expertise, will review the Major Grant *Applications*. The State Library Board, based on the LSTA Advisory Council recommendations, will approve the Major Grant *Applications* at their November 2006 and March 2007 meetings.
 - c) Major Grants require matching funds of 35% of the total cost of the project.

C. **Eligibility Criteria For Utah Libraries Applying For LSTA Grants**

1. **Public Libraries.**
 - a) City and county libraries: Must be fully or provisionally certified under the UPGRADE Standards established by the USL.
 - b) Public institutional libraries: Must receive 50% or more of its operating funds from the State of Utah, have an organized collection, a materials budget, provide service to an underserved population, and employ a librarian who has an MLS degree and has completed, or is enrolled in the UPLIFT Basic Certification program.
 - c) Public libraries must meet all requirements of HB 341 (Utah Children's Internet Protection Act) and the federal Children's Internet Protection Act.
2. **Academic Libraries.** Must be a Utah member of the Utah Academic Library Consortium, provide public access to its collection, and participate in interlibrary loan resource sharing services to libraries in Utah.
3. **Public Elementary and Secondary School Libraries.** Must provide an accessible and organized collection; have a board-approved, district/building-level collection development policy and have an on-going line-item budget for library materials. Additionally, school library personnel must be assigned responsibility for library media programs. If neither the school library personnel nor the district supervisor holds library media certification, a certificated library media teacher within the district must oversee the preparation and implementation of any grant. A single proposal submitted through the school district office may represent one school, a multi-district consortium, many school library media centers, or multi-type libraries, i.e., school and public and/or academic libraries working together.
4. **Research and/or Private Libraries.** Must be certified as eligible by the State Library Board based on the requirements that the library employs a formally trained librarian with a master's degree in library or information science from an ALA-accredited program, Library Media Endorsement, or has completed or is enrolled in the UPLIFT Basic Certification Program; must make publicly available library services and materials suitable for scholarly research not otherwise available to the public, and that the library is not an integral part of an institution of higher learning.
5. **Library Consortia.** Formally established consortia of libraries, all of whose members meet the eligibility criteria above, may also apply for LSTA grants. The application must be submitted by one library on behalf of the consortium.

The applying library shall serve as the administrative and fiscal agent for the grant.

D. **Outcome-Based Evaluation (OBE)**

Outcome-based (project or program) evaluation (OBE) evolved as a consequence of the *Government Performance and Results Act of 1993* that required federal agencies to focus on planning and managing for results. Federal programs must now assess the investment of federal dollars on the lives of people and report on the measurable results that matter to citizens. The Institute of Museum and Library Services encourages states to incorporate the principles of OBE in their diverse library programs for the years 2003-2007.

Outcome-based evaluation has been adopted by the United Way organization and by other agencies to change the way grants are administered. The purpose is to encourage grant applicants to think more critically in planning their grant projects. They must determine in advance what the results of a grant project will be and how they will know that they have achieved success.

Inputs (e.g., money, staff time, equipment, or supplies) support activities (training, installing and supporting networks, equipment, purchasing databases). Activities result in outputs (number of classes held or people trained, number of computers available, or hits on the databases). The next step is to identify the results or outcomes (increased skills, knowledge, changes in attitudes, behaviors, status or life condition) on the project participants.

The grant application forms are designed to elicit measurable and meaningful results so they may be aggregated and reported annually to the Institute of Museum and Library Services. Its staff will then be able to communicate the impact of federal dollars for improved library services across the nation.

1. **Outcome-Based Evaluation for Mini Grants.** Mini-grant applications will include a simpler form of outcome-based evaluation to elicit needed information about a program or project's outcomes. The application questions will still require critical thinking about the need for such a project and how it relates to the library's mission, a description of the target audience and the projected benefits to this audience.

Program/Project Purpose:

We Want to Do What? (Summarize key proposed services and activities)
For Whom? (Describe the target audience for your project)
For What Outcome or Benefit? (Describe the benefits/results of the project in terms of changed, improved, or demonstrated skills, behaviors, knowledge, and attitude of people impacted)

2. **Outcome-Based Evaluation for Regular and Major Grants.** Because applicants for Regular and Major Grants will be requesting substantial sums for their projects or programs, they will be expected to supply more detailed information on the *Application* and on the *Final Summary & Evaluation Report*. Applicants should be prepared to describe each outcome or benefit that they expect their program or project to produce. Regular and Major Grant applicants may build into the budget request a small, but reasonable

percentage of funding to contract for professional assistance to determine the overall results and outcomes for the *Final Summary & Evaluation Report*.

V. APPLICATION REQUIREMENTS

A. General Requirements for All Competitive Grants

1. **Forms.** Grant application and reporting forms may be found online at http://library.utah.gov/grants_funding/forms/index.htm
2. **Intent-to-Apply form required.** All grant applicants must submit an *Intent to Apply* form to the Grants Coordinator, at the Utah State Library Division, 250 North 1950 West, Suite A, Salt Lake City, UT 84116-7901. *Intent to Apply* forms may be faxed to (801-715-6767). Consult the Grant Calendar at the beginning of this document for the fall and spring *Intent to Apply* form and the *Application* due dates.
3. **LSTA Grant Application form** is located online. Grant applicants should save the document to their Word files, complete the form, and submit the required number of copies to the Grants Coordinator. Be sure also to e-mail a copy to the Grants Coordinator. See Application Requirements, next section.
4. **Local spending match.** Requests for grant funds that would be used to replace local spending are NOT eligible. Grant funds may, however, be used for the purpose of supplementing local efforts. For grant requests requiring local matching dollars, libraries may show local match and support with dollars from other federal funds, local government or institutional funds, donations, and private grants. Donated new equipment may qualify as a match only if acceptable documentation of the cost is included in the application. Matching dollars from Public Library Development Grants or "in kind" funds are NOT allowed.
5. **Existing salaries and benefits** cannot be used for match. However, match or grant expenditures may include *increased* personnel costs such as a new hire or additional hours for current staff to implement the grant project. Actual personnel hours associated with the grant must be thoroughly documented and reported during the implementation of the grant.
6. **Indirect costs.** Under the rules and regulations governing the distribution of grant dollars under the Library Services & Technology Act there is no provision for indirect costs.
7. **Phased projects.** For "multi-phased" projects, applicants need to clarify exactly what part or phase of the project is being targeted for grant funding. Items to be included should be easily identified. The Council's commitment to fund one phase of a project implies no commitment to fund subsequent phases. Although the Council welcomes applications for subsequent phases on a competitive basis, it will consider only one part of a multi-phased project at a time.
8. **School projects.** Grant funds are to be used to strengthen school library media programs and not regular classroom instruction. Grant funds may not be used to purchase textbooks, classroom book sets, workbooks, or testing software. Grant funds may not be used to support motivational reading programs unless tied to the library media core curriculum and administered from the library (not the classroom).

9. **Federal requirements.** Grant recipients must comply with federal and state laws and regulations affecting public policy issues such as civil rights, labor standards, hazardous materials warnings, debarment and suspension concerns, drug-free, smoke-free work environment, lobbying practices, etc. A library receiving an LSTA grant must also not discriminate on the basis of race, religion, age, gender, national origin, or disabilities in providing space for public meetings. It must also be in compliance with the requirements of OMB Circular A-133, *Audits of States, Local Government and Non-Profit Organizations*.

On June 23, 2003, the Supreme Court ruled that the *Children's Internet Protection Act* (CIPA) was constitutional. The law only affects public libraries that apply for LSTA funding computers that access the Internet or for paying direct costs to access the Internet. Public libraries will need to comply with two basic requirements: 1) implementation of an Internet Safety Policy, and 2) installation of a Technology Protection Measure (filter) on computers that access the Internet. For more information please see <http://library.utah.gov/lstagrantsinfo.html>.

10. **Utah State Law.** On May 3, 2004 the *Utah Children's Internet Protection Act* became law prohibiting a public library from receiving state funds unless the library has an Internet safety policy and implements and enforces measures to filter Internet access to certain materials. Because the USL is a pass-through agency for federal LSTA funds, these become state funds. Public libraries must comply with both state and federal laws. Consult <http://library.utah.gov/laws.html> for more information.
11. **Public documents.** All applications, funded and not funded, become the property of the USL. As such, all intent to apply forms, applications, reports, audits, correspondence, final summary and evaluation reports, and all other related materials are defined as "public records." Access to those records is allowed under GRAMA (*Government Records Access and Management Act*). The USL may choose NOT to release personal, proprietary, or technical information.

B. **Special Requirements for Technology Grants for All Categories**

1. **Technology Plans.**

- a) Public libraries: All FY 2006-2007 LSTA grant applications must include one copy of the library's current three-year (2006-2008) technology plan. This technology plan may be the same as required and approved for the FCC Universal Service E-Rate Discount. A description of library technology plan elements that must be addressed and a listing of public library technology plans submitted with LSTA applications to the USL that applicants may adapt to their libraries may be found at http://library.utah.gov/grants_funding/lsta/library_technology_plans.htm.
- b) School libraries: School libraries should submit the most current year technology plan approved by the Utah Educational Network for the FCC Universal Service E-Rate Discount. School District technology plans should correlate with and provide for the information technology needs of all school libraries within the district.
- c) Academic and private/research libraries and consortia: Academic, private/research, and consortia libraries must also submit a current long-range (3-5 years) technology plan approved by library and institutional authorities along with their grant applications.

2. **Consultant credentials.** If the technology grant requires the services of technical consultants, documentation of the consultant's professional credentials or a statement of the selection process should be included as an attachment to the application.
3. **Technology specifications.** For FY 2006-2007 the suggested minimum specifications for public access PC's purchased with LSTA funds are:
 Microprocessor: 3.0 GHz or higher
 Monitor: 17 inch Monitor, flat panel LCD
 RAM Memory: 512 Mg or more
 Video: 16MB video card – whatever is basic, integrated
 CD-ROM Drive: CD-ROM / RW / DVD Combo / DVD RW
 Operating System: Windows XP Pro – SP2 with licensed CD, English or XP
 Office Suite: Microsoft Office 2003 Version
 Web Browser: Microsoft Internet Explorer
 Mouse: USB - optical
 Keyboard: USB
 Network Interface Card: Integrated 10/100 3Com Network capability NIC or
 Sound: Integrated Sound
 Speakers:
 Ports: 6 USB
 Power Protection: UPS
 Resource CD for Drivers and OS recovery:
 Additional Software: Personal Firewall or Security software; Anti-virus software
 Warranty: 3-year warranty - Parts & Labor On-Site Response Initial Year with Parts & Labor On-Site Response 2YR Extended.
 Estimated Cost: \$1,200-\$1,300 including software
4. **State contract vendor information.** The State of Utah negotiates contracts with many vendors for a variety of computer-related products; public libraries may be able to purchase items from these contracts at State pricing. Three major "PC Stores" contracts exist; these "PC Stores" carry a variety of items from multiple vendors. Current statewide contracts exist with Dell, Gateway and HP. There is some, but generally not a dramatic, price difference among PC Stores. To locate statewide contracts access <http://www.purchasing.utah.gov/statewidecontracts/Contracts.aspx?Contracts=All>.
5. **Procurement protocol.** The project director must work with the appropriate municipal, school district, county, or state purchasing agents to obtain the necessary equipment, services, or materials for the LSTA project. In some cases local procurement procedures may take precedence over statewide contractual arrangements.

C. **Special Requirements For Networked Information Digitization Projects**

Libraries planning to apply for LSTA funding to support a digitization project first need to meet specific guidelines established by the Mountain West Digital Library. Applicants must obtain approval from one of the designated regional centers supporting the Mountain West Digital Library nearest their library before submitting an LSTA application. These centers are 1) J. Willard Marriott Library, University of Utah; 2) Merrill Library, Utah State University; 3) Harold B. Lee Library, Brigham Young University; and 4) Gerald R. Sherratt Library, Southern Utah University. Please also

consult the “Policy Defining the Use of LSTA funds for the Digitization of Information Resources in Utah”, located in Appendix D., on the Mountain West Digital Library website at <http://www.lib.utah.edu/digital/mwdl/about.html>, and on the USL website at <http://library.utah.gov/index.htm>.

D. Other Grant Information

1. **Number of applications.** There is no limit on the number of applications a library may submit, however, libraries should not submit more than one application in the same category. Libraries must prioritize all applications submitted. Capability to implement a project and the track record of previously implemented projects will be considered as factors in awarding grants. Each library should assess its ability to implement multiple grants before submitting more than one application.
2. **Number of years of project funding.** There is no limit on the number of years that a project may be funded. Applications are evaluated and grants awarded on a single year basis. A library’s track record – including effectiveness of evaluation – will be taken into account for multi-year projects. The USL cannot commit funding for subsequent years of a project. Applications for multi-years will be evaluated and ranked with all other competing applications in each grant cycle.
3. **Grant award amounts.** The amount of grant awards will be determined each year by the State Library Board based on the availability of funds, program goals and priorities.
4. **Unallowable projects.** Library anti-theft security systems, excluding software (i.e., firewalls), are not fundable with LSTA funds.

VI. APPLICATION PROCESS

- A. **Look for the LSTA grants competition announcement.** An announcement of the grant cycle is e-mailed to public, school, and academic libraries on various discussion lists.- ULN, UELMA, UALC and to those individuals who have requested notification. A grant notice will also appear in the online DIRECTIONS Newsletter two weeks before each grant round opens in August and in January each year.
- B. **Attend the *LSTA Program & Grant Writing Workshop*.** This workshop is held prior to each round. Applicants should plan to attend this workshop if they have never done so. Applicants may register for this [workshop](#) online.
- C. **Obtain grant writing assistance.** Libraries that have not applied for LSTA Grants in the past are encouraged to contact the Grants Coordinator, (801-715-6742/ @utah.gov) to discuss project ideas at any time.
- D. **Submit the [Intent-to-Apply form](#)** by the posted deadline. See the LSTA Grant Calendar for the date. Fax or e-mail the *Intent-to-Apply* form to the Grants Coordinator (801-715-6767 / @utah.gov).
- E. **Review the *LSTA Grants Handbook*.** Contact the Grants Coordinator if you have questions.
 1. Determine eligibility of the library.
 2. Determine the grant category: Technology Infrastructure, Networked Information, or Enhanced Access to Library Services.

3. Determine a funding category for the library's LSTA project: Mini, Regular, or Major.
- F. **Submit the completed *Application*** form by the posted deadline. For the date, see the [LSTA Grant Calendar](#) online.
- G. **Follow format requirements** for filling out the application:
 1. Use the regulation form posted on the website at <http://> or at the minimum, submit the face sheet, page two, and the budget sheet (in Excel), page 5.
 2. Application without supporting documents should not exceed 12 pages.
 3. Handwritten applications will not be accepted.
 4. Submit one original and six copies for Mini Grants
 5. Submit one original and eleven copies for Regular or Major Grants

VII. APPLICATION COMPONENTS

- A. **Page one** – Identifying data, LSTA funding request amount (& match amount) and category
 1. Official name of library/organization – Library's web address (URL)
 2. Mailing address (street and PO Box number, if any). This should be the address for the contract if funds are awarded. When the grant recipient submits the *Payment Request* form to the Business Office, the check will be mailed to the address on the contract. In the case of public schools, the address on the contract will be that of the School District Office, with the name of the individual school that received the grant award underneath in parens. However, the contract will be mailed to the project director who is responsible for obtaining the proper signatures on the contract copies.
 3. U.S. Congressional District No./Utah Senate District No./Utah House District No.
 4. Total project cost (this includes the appropriate match amount).
 5. LSTA funds requested /Match /Match % /Total funds.
 6. Name of Project Director /phone / fax /e-mail address.
 7. Name of Organization Director (if different from project director)
 8. Phone /fax /e-mail address.
 9. Grant Category. If applicant is unsure of which to check, contact the Grants Coordinator for clarification.
- B. **Page two**
 1. Name of Library/Organization.
 2. Project Title (distinctive to the project).

3. Mission Statement (concise if possible).
4. Number of persons to be served by the project. Ideally this number should count the number of individuals impacted only once.
5. Project purpose: You want to do what? (summary of key proposed services).
6. For whom? (Target population: List specific characteristics of the target population to be served by this project (age group, special needs, estimated number of people to be served from census figures, local data, and/or school records).
7. For What Outcome or Benefit? What are the benefits of this grant project for your target audience? Describe the benefits/results of the project in terms of changed, improved, or demonstrated skills, behaviors, knowledge, or attitude of the people impacted.
8. For Regular and Major Grants only: What indicators will you use to identify the benefits to your target audience? (Observable evidence of accomplishments, changes or gains, measurable behaviors or conditions in numbers and percents).

C. Page three

1. Project stakeholders/community support. Identify the people and/or organizations responsible for insuring the success of this project and need to be informed about the project's impact. These people may include the target audience, local government administrators, school or library board members, faculty, staff, students, patrons, and community organizations. Attach two or three letters of support for the project from selected people or groups.
2. Future funding statement – provide evidence of sustainability after completing the project. How will the library maintain, upgrade, or replace the technology purchased by this grant? How will the library fund future additions to a digitization project? How will the library fund continued support for an outreach project?
3. Technology projects only. How will this grant project enhance the library's current technology capacity and services? Be sure to include one copy of the library's Technology Plan with the application.
4. How will you implement your project? This is an action plan, so list the major project activities with the beginning and the completion schedule.

D. Page four

1. How will you inform your library users about these enhanced services? Describe your publicity campaign.
2. How and when will you evaluate the benefits of this grant project to the target audience? Describe your plan for evaluating the impact on people who directly benefited from the project. How did you measure changes in behavior, skills, knowledge, attitudes, life condition or status in the individuals as a result of this project?

E. Page five - Proposed Project Budget: Keep in mind that this explanation helps grant reviewers in evaluating the merits of the applications.

1. Show itemized amounts for the project.

2. Indicate the percentage of matching funds the library is providing and the agency, organization, or partner that will be contributing the funds. List the amount and source of other funds to be used to carry out the project.
3. Be certain the project's budget supports the project purpose. The budget page is an Excel sheet and therefore should automatically sum up the subtotals in each column, if you have the Excel application installed and open. Be sure to verify the add icon is working or re-check column totals.
4. Proposed Project Budget is five columns: Expense Category, LSTA Funds, Local Government, Other (donations, Friends' fund raising contributions, private sector grants, but no-in-kind donations) and Total funds. Itemize and total costs for each category (Personnel, Operating, Equipment/Capital Outlay, Other expenses)

F. Page six - Proposed Project Budget Description/Justification

1. This is a narrative description of the budget.
2. Personnel expenses: List salaries, wages and benefits to be paid to each person employed for the project on the library's payroll. Provide an explanation of the total amount of time and wage by project personnel. Salaries and wages of full-time staff may not be used as a local match.
3. Operating expenses:
 - a) Travel - Indicate amounts to be used for travel associated with the project. Describe who will travel and why it is important to the success of the project. Obtain current travel reimbursement figures for mileage, per diem, and lodging from the Grants Coordinator.
 - b) Contracted services – to be performed by an outside organization, company, or individual through contractual agreement(s). Examples: consultant fee, digitization services, speaker honoraria, other expenses. Include travel costs associated with a contractual service that will be billed separately from the service. Example: \$200 for speaker fee plus travel costs.
 - c) Training – itemize costs associated with training services.
4. Materials/supplies - This includes costs for books, periodicals, newspapers, CD's, DVD, books-on-tape, etc.
5. Equipment & capital outlay expenses: (computer hardware, software, other such as computer furniture, projectors, etc).
 - a) List all equipment to be purchased and include type, manufacturer, and model number as represented on the vendor quotes. Example: Scanner: Hewlett Packard ScanJet ADF; Monitor: ViewSonic Professional Series PF815; Computer: Dell OptiPlex GX1.
 - b) Other - (evaluation expenses, shipping & handling costs, etc.) Evaluation fees should be kept within reason for producing, distributing, and analyzing surveys with regard to the impact of the grant project.

G. Page Seven – Signatures

1. Organization or Library Director signature.
 2. Board Chair signature, for a public library project.
 3. Local Government or Institutional Representative signature: This can be a mayor, city council or county commissioner, dean of an academic library or grant's management officer.
 4. Project director (if other than the library director).
- H. **Page Eight** – Application Checklist. This page is to help you insure that you have completed all the necessary steps in filling out the Application and included all the required documents.

VIII. REQUIRED DOCUMENTS TO BE SUBMITTED WITH THE APPLICATION

- A. **Three-Year Technology Plan – 2007-2009** – E-mail a copy to the Grant's Coordinator and include one hard copy with the required number of copies of the grant application.
- B. [IMLS /LSTA Data Element Document](#) – E-mail a copy to the Grants Coordinator and include one hard copy with the required number of copies of the grant application.
- C. **Application Checklist** - Check off each item that applies to your grant application and include with the required number of copies of the grant application.
- D. **Representative list of materials** - A proposal that involves collection development should document that the library is prepared to move ahead quickly and responsively in purchasing materials. Attach a representative list of materials by subject that will be purchased.
- E. **Vendor quotes** - Attach actual vendor quotes with the application and include an itemized list of proposed equipment purchases, hardware and software, computer furniture, contracted services, or personnel costs. Be sure the quotes of equipment to be purchased include type, manufacturer, and model number. These specifications help to establish an equipment standard.
- F. **Letters of support** - Although not required, the LSTA Advisory Council recommends attaching two or three letters of support by local leaders, organizations, or officials.

IX. SUBMITTING THE APPLICATION

- A. **Documents to be e-mailed to the Grants Coordinator.** E-mail one copy of each of the following to the Grants Coordinator: the completed application (without signatures), the IMLS /LSTA Data Element Document, and the three-year *Technology Plan*.
- B. **Mail or hand-deliver the required number of hard copy applications** (and one original) to the Grants Coordinator on or before the deadline date. Mini Grants – one original and six copies; Regular Grants - one original and eleven copies; and Major Grants – one original and twenty-five copies, nine of which will be sent to each State Library Board member). If mailing, address required number of application copies (one original) to:

**Attn: Grants Coordinator,
Utah State Library Division
250 North 1950 West, Suite A
Salt Lake City, UT 84116-7901**

C. Methods of delivery: USPS, commercial carrier, hand delivery

1. Request proof of mailing. The U.S. Postal Service does not always postmark a package when it receives one. Request to have the package dated, and then verify that it is properly date stamped. The State Library will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. Retain legible copy of mailing, shipping, or delivery receipt.
2. Applications that are mailed by the postmarked deadline – usually the Wednesday before the Friday deadline – and arrive the following week will be honored and accepted.
3. Hand-deliver required number of application copies to the State Library by the deadline. The State Library closes at 5:00 p.m.
4. State Library acknowledgment – It is the responsibility of the grant applicant to insure that the applications are submitted before the deadline. Applicants who mail their grant applications or trust persons to hand deliver them and need to know if the State Library has received them are encouraged to call or e-mail the Grants Coordinator on the day of the grant deadline.

X. GRANT APPLICATION REVIEW PROCESS

- A. **Review criteria (GAFF criteria).** Each grant application, whether, Mini, Regular, or Major, is reviewed by professional staff members, LSTA Advisory Council members, and for Major Grants, by State Library Board members. Reviewers receive copies of each grant application and a cover sheet with the LSTA Grant Application Assessment Form. See Appendix. This form is a guide for the reviewer, who may also consider other significant factors. The reviewer evaluates the narrative, project evaluation/outcomes, project timeline, and particularly the budget. Reviewers with special expertise in library information technology, digitization, school library experience, or services to the underserved will critique application projects in their respective fields.
- B. **Library's LSTA grant history.** The *Grant Application Assessment Form* includes the library's LSTA grant history on the verso. The library's grant history may or may not influence decisions on grant awards.
- C. **Library's LSTA grant administration history.** Applicants who have received past LSTA grants may be evaluated on their history of administering those projects.
- D. **Mini Grant review.**
 1. **Mini Grant application review.** The State Librarian, LSTA Grants Coordinator, and Library Development Program Manager review Mini Grant applications. Because the USL staff is more familiar with the needs and situations of the small rural public libraries that submit the majority of Mini Grants, they are better informed to review these applications. LSTA Advisory Council members who represent school libraries are asked to review and submit feedback to these reviewers for any school library Mini Grant applications because they are more familiar with school library needs in the state.

2. **Site visits.** Usually Mini Grant applicant libraries do not receive site visits; however, if the Grant's Coordinator can include them in the Regular and Major Grant site visit schedule, certain libraries, particularly school libraries may receive a site visit.
3. **Mini Grant awards.** The State Librarian makes the final award decisions for Mini Grant applications. The Grants Coordinator informs the LSTA Advisory Council of the Mini Grant award decisions at the Grant Review Session for Regular (and Major) grant applications.
4. **Mini Grant funding pool.** A Mini Grant funding pool of \$75,000 is available in each fall and spring round.

E. **Regular Grant review**

1. **Regular Grant application review.** Members of the LSTA Advisory Council, the State Librarian, and the professional USL staff review the Regular grant applications.
2. **Site visits:** Libraries submitting Regular Grants **may receive** site visits by one or two members of the LSTA Advisory Council along with the Grants Coordinator and/or the Library Development Program Manager. This is an opportunity for Council members to see first hand the needs of the library and the rationale for the grant project. They report back their observations to the full Advisory Council for Regular Grant projects at the Grant Review Session in November and for Regular and Major Grant projects in March.
3. **LSTA Planning Meeting and Grant Review Session.** The LSTA Planning Meeting and the Grant Review Session are held each fall in November and each spring in March and are open meetings. In the morning Planning Meeting, the LSTA Advisory Council members and State Library staff discuss issues affecting the Competitive Grant Program, recommend policies, and share site visit observations of the Regular and Major Grant applications for that round.
4. **Regular Grant awards.** In the afternoon, the LSTA Advisory Council conducts a Grant Review Session. Regular Grant applicants are invited to present their grant projects at the afternoon Grant Review Session. Grant applicants are given a minimum of five minutes to present their projects before the Council, after which the Council has five minutes to ask questions of grant applicants. Once the Council has heard from each Regular (and/or Major) Grant applicant, they deliberate and determine the funding awards, which then become recommendations to the State Librarian and State Library Board. Prospective LSTA Regular (or Major) Grant applicants are welcome to attend the afternoon Grant Review Session to learn about the grant deliberation and funding process.
5. **Regular Grant funding pool.** There is a funding pool of \$150,000 available in each fall and spring round.
6. **The fall 2006 Grant Review Session** is scheduled for Friday, November 3, 2006, 1-5 p.m. at the USL. The Spring 2007 Grant Review Session will not be set until the November meeting, but it is usually one week before the spring meeting of the State Library Board.

F. **Major Grant Review**

1. **Major Grant application review.** There is only one annual Major Grant competition round each year in the spring; members of the LSTA Advisory Council and the State Library Board review the Major Grant applications. LSTA appropriations made annually to each state have in the last few years not been announced until early spring. However, federal funding can be carried over one year. Since Major Grant projects usually need more time for implementation, the awards are made in the spring round to allow project directors 16-18 months to complete the grant project. Grant projects awarded in the fall need to be completed in eight months.
2. **Site visits.** Libraries submitting Major Grants **will receive** site visits by one or two members of the LSTA Advisory Council along with the Grants Coordinator and/or the Library Development Program Manager. Council members who visit the applicant libraries will share their observations to the full Advisory Council at the Grant Review Session in March.
3. **Major Grant project presentation.** During the Regular Grant Review Session in March, the Major Grant applicants also have an opportunity to present their project before the LSTA Advisory Council, and answer questions from Council members, who then make the funding recommendations to the State Librarian and the State Library Board. Because of the limited time available, applicant presentations usually are from 5-7 minutes with an equal amount of time for questioning by the Council.
4. **Major Grant awards.** The State Library Board holds its quarterly spring meeting one week after the LSTA Grant Review Session. The Chair of the LSTA Advisory Council reports to the Board on the Mini Grant awards, the recommendations of the Council for the Regular Grants and any Major Grant awards. Major Grant applicants are invited to present their project before the Board at this meeting. Board members have an opportunity to ask questions of the Major Grant applicants about the project and vote to approve or not approve the project at this time.
5. **Major Grant award pool.** There is \$150,000 funding pool for the annual spring competition of Major Grants.

- G. **Grant Funding Category.** Once the State Librarian, LSTA Advisory Council, or the State Board has approved a grant application, it must remain in the funding category in which it was originally submitted. Funding allocations are pre-determined by the State Library Board each August. And though unexpended funds from the fall grant competition can be carried over to the spring round, grant applications submitted in either the Regular or Major Grant category will remain in those categories, even though reduced or partial grant awards may seem to move them to another category. Reduced awards will, however, result in reduced match requirements.

XI. **GRANT AWARD NOTIFICATION**

- A. **Official letter.** Mini, Regular and Major Grant applicants will receive a letter from State Librarian after the fall and spring State Library Board meeting. This letter will inform the applicant if the grant project was funded or not and, if funded, either fully or partially.
- B. **Total LSTA amount.** If the grant was funded, the letter will also stipulate the exact amount for allowable purchases and any action the grant recipient must take before the contract is prepared.

- C. **Revised budget requirement.** If the award amount is different from the grant request, the notification letter will also require the grant recipient to submit a revised budget based on the actual award amount to the Grants Coordinator before the contract can be prepared. The Project Director may fax or e-mail the revised budget to the Grants Coordinator so that a contract can be prepared as soon as possible.
- D. **Other stipulations.** The grant notification letter may require the grant recipient to comply with additional specific stipulations.
- E. **Grant administration workshop requirement.** One important stipulation is mandatory attendance at the LSTA Grants Administration Workshop for all new LSTA grant recipients or for those who have not attended within the past three years. Failure to attend this workshop will be cause for withdrawing the grant award. The purpose of this workshop is to insure that the grant recipient understands the proper procedures to follow in requesting funds from the State Library to pay for project expenses.

XII. APPEAL PROCESS

Mini Grant applicants whose proposals are not approved may appeal to the LSTA Advisory Council for reconsideration. The Grant Applicant should submit in writing to the Council Chair (in care of the State Librarian), the reasons for making an appeal and the request for a re-evaluation of the application. The State Librarian must receive the appeal letter within two weeks from the date of the letter notifying the applicant that the grant has been denied. The Council Chair may call a meeting of the members to deliberate appeal request.

Grant Applicants whose Regular or Major Grant applications are denied funding may appeal to the State Library Board for reconsideration. The Grant Applicant should submit in writing to the Board (in care of the State Librarian) the reasons for making an appeal and the request for a re-evaluation of the application. The State Librarian must receive the appeal letter within two weeks from the date of the letter notifying the applicant that the grant has been denied. The Board will consider requests for appeal at their next scheduled meeting.

To get information and pricing from vendors with statewide contracts, access [State Purchasing web site](#). Software and other items may also be purchased from State contracts.

Be aware, however, that local government purchasing procedures must be followed and take precedence over state procedures. In addition, local governments may have negotiated vendor contracts other than those the state has contracted.

XIII. GRANT PROJECT ADMINISTRATION

A. Grant Contracting Process

1. **Contract preparation.** The USL prepares and executes two copies of the library's contract for each grant. If the grant award is different from the original funding request, the grant award notification letter will request that a revised budget be submitted to the LSTA Grants Coordinator. The contract will not be prepared until the grant recipient has submitted the revised budget to the Grants Coordinator. A copy of the final budget request will be included in the contract.
2. **Contract attachments** included as part of the contract: the *Interim Report* form (for Regular and Major Grants only); the *Final Expenditure Report* form; the *Summary & Evaluation Report* form; and the *Payment Request* form. Also included is an INTERNET Safety Certification form (only for public libraries, public elementary school libraries or public secondary school libraries, library

consortia) that must be signed by the library or organizational director. This form is kept on file at the USL.

3. **Local signatures.** Grant recipients must obtain the required local signatures on both contract copies and return them with all the attachments to the USL, which will then forward the contracts to State authorities for official signatures and the contract number. Local government officials who may sign the contracts are the mayor, city council or county commissioner member. Institutional representatives may be the school superintendent, principal, library dean of an academic institution, or library director if not the project director. Fiscal authorities would be a city or county recorder, treasurer, manager, school district business manager, university grants office director or business manager.
4. **Contract finalization schedule.** The LSTA fall grant awards are made by the middle of November, but with the holidays in December, contracts are generally not finalized until at least the middle of January. Spring grant awards are decided usually by the end of March and the contracts are generally finalized by the first of May.
5. **Warning!** Grant recipients must not expend any money for project purposes until he/she receives the finalized contract copy with the assigned number, and signatures of all parties. This warning also applies to match funds. The USL retains one contract copy on file for each grant project awarded.

B. **Contract Documents**

1. **Contract face page:** Identifies contracting parties, address of where payments will go, vendor number, Dunn & Bradstreet number, LS number (LSTA appropriation year), and CFDA number (Catalog of Federal Domestic Assistance); contract period with commencement and termination dates, amount of grant; attachments; internal audit information; signature lines.
2. **Attachment A** – Standard Terms & Conditions. This is a “boilerplate” document prepared by the Attorney General’s Office in the Department of Community and Culture of which the USL is one division. It is included in all contracts.
3. **Attachment B** – Special Provisions and Scope of Work. Specifies what actions the grant recipient must take; requirements for requesting federal funds; reduction of grant conditions determined by Congressional action; contact persons for the USL and project director for the library; required reporting of financial performance (single audit compliance).
4. **Attachment C** – Budget page.
5. **Attachment D** – *Interim Report* form (for Regular & Major Grants only). This report must be submitted within 90 days from the date the contract is finalized.
6. **Attachment E** – *Final Expenditure Report* form (due September 15 of the grant award year).
7. **Attachment F** – *Final Summary & Evaluation Report* form. (due September 15 of grant award year).
8. **Attachment G** – *Payment Request* form. Submit this form to the Financial Manager along with copies of the invoices for which payment is requested. This form and accompanying invoices may be faxed (801-715-6767). Project

directors are advised to make multiple copies of this form if they plan to send more than one *Payment Request* to the Financial Manager.

9. **Cover letter.** An accompanying cover letter explains what the grant recipient must do with the contract copies. It also indicates in bold the contract termination date and the dates that the *Interim*, *Final Expenditure Report*, and *Final Summary and Evaluation Report* are due at the USL Library.
10. **CIPA document.** The public library director or the school library media teacher must sign and return the **Children's Internet Protection Certification** document. (For public or school elementary and secondary libraries.)

C. **LSTA Grants Administration Workshop**

1. **Participants.** This workshop is designed specifically for all new LSTA grant recipients or for those who have not attended within the past three years. Library fiscal agents and others involved in the grant projects are welcome and encouraged to attend. Failure to attend this workshop will be cause to withdraw the grant award.
2. **Schedule.** This two-hour workshop is held in January for the fall grant recipients and in April for the spring grant recipients.
3. **Rationale.** The purpose of the workshop is to provide project management information in order to administer the grant effectively and to insure all LSTA Grant recipients fully understand:
 - all contract documents and the contracting process
 - obligations and responsibilities to the State and Federal governments
 - when and how to obtain Federal LSTA funds to pay for grant project expenses
 - when and how to complete LSTA final reports
 - what to do if things change or problems occur and whom to notify
4. **Travel reimbursement.** The State Library will offer mileage reimbursement to grant recipients to attend the workshop. Future workshops may be available through conference technology.

D. **Grant Implementation Information**

1. **Project Timeline.** The project completion deadline depends on the appropriation year of the contract.
 - a) Grant projects funded in the fall must be completed by the following September 15.
 - b) Grant projects funded in the spring must be completed by September 15 of the second year. For example: a grant awarded in the spring of 2007 will have until September 15 of 2008 to be completed.
2. **Advice.** Grant recipients are strongly advised to begin implementing their projects soon after receiving a copy of the finalized contract with the assigned number.
3. **Activities.** Once the contract is finalized, the project director should:
 - a) Re-verify vendor quotes, as there is usually a time lag of several months between the submission of the application and the finalization of the contract. During this time, equipment prices may have changed and may prompt a budget revision.

- b) Order hardware, software, and other equipment.
- c) Contract for services.
- d) Hire personnel.
- e) Fax *Payment Request* forms with copies of invoices to the Financial Manager. The project director will continue to send periodic *Payment Requests* forms with accompanying invoices until all the funds awarded have been expended. The project Director is advised to make copies of the *Payment Request* form if multiple *payment requests* will be made.
- f) Document inputs, outputs, outcomes, statistics, and anecdotal success stories about the project's impact on individuals.
- g) Acknowledge IMLS in any media, communication, and report on the LSTA grant award. This can be done when the award is formally announced, once the project is begun or completed, or when it is most appropriate for library public relations. See Appendix E. - Credit Where Credit is Due.

E. **Grant Administration Requirements**

1. **How to administer the grant project.** Public, school, academic, and eligible private/research libraries must administer the grant project within the organization. The agency applying for and administering a grant is responsible for receiving and disbursing funds and carrying out the purposes of the project. The grant recipient must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for grant-related purposes. If more than one LSTA grant is received, a separate account in the local budget must be established for auditing purposes for each grant.
2. **Depositing LSTA funds.** Public libraries must deposit LSTA funds with their city or county offices. School libraries must deposit LSTA funds with the school district office. Academic libraries may need to first contact a campus grants office before submitting a grant application to determine local procedures for application, processing and managing LSTA grant funds. Grant funds then will be paid to the grants office for disbursement to specified sources.
3. **Unallowable costs.** Indirect or administrative costs are not allowable. This insures that grant funds are used to support services and not pay for rental space, utilities, and other administrative costs. Grant funds must be fully dedicated to the project.
4. **Grant equipment, materials, etc.** All equipment purchased as part of an LSTA grant project is considered to be the property of the library. The grant recipient is also responsible for its installation, maintenance, repair, replacement and ongoing operation. Likewise, other materials, i.e., books, videos, books-on-tape, etc. purchased by the grant remain the property of the library.
5. **Personnel payment obligations.** Regulations for workman's compensation and unemployment compensation must be followed. Project applicants may be responsible for paying workman's compensation and unemployment compensation for personnel hired for the grant project.
6. **Grant expenditure limits.** All LSTA project activities must occur within the expenditure period as indicated on the grant contract – between the contract beginning and termination dates. Project costs and obligations incurred prior to or beyond the contract termination date will not be reimbursed.

F. **Contract Changes, Amendment and Cancellation Procedures**

In a perfect world nothing would need to change. Since it isn't a perfect world, contracts sometimes need to be revised. Although the total LSTA award amount must remain the same, changes do occur within budget categories. Sometimes budget amounts in one category need to be moved to another or some categories no longer need the amount allocated to them. Project directors must adhere to the following:

1. **Budget changes.** If circumstances necessitate a change in equipment to be purchased, key personnel, or expenditures that total more than 10% in any one category or \$200, whichever is greater, the project director must obtain approval from the USL to expend a different amount. The project director will need to write a letter to the State Librarian, copying the Grants Coordinator, (801-715-6742), explaining the reason and requesting approval for the change. Once approved the project director will need to submit a revised budget. These documents will be filed with the library's other grant papers and will expedite the closeout desk audit conducted by the Financial Manager.
2. **Price changes.** Often between the times the application is submitted and the contract is finalized, which can be several months, vendor quotes can drop or rise, usually the former. Again, if the change is more than 10% from the original budget amount, the project director must notify the Grants Coordinator in writing (fax or e-mail is acceptable) to discuss what action to take. The project director will need to submit a revised project budget to the Grants Coordinator. Often price drops create a remaining grant balance that can be negotiated for other purchases related to the grant project.
3. **Contract extension /amendment.** If for some reason, the project cannot be completed within the grant contract period and within the assigned LSTA appropriation year, the project director may request a contract extension. The request for this extension must occur 90 days before the end of the original contract termination date. If the contract can be assigned to another appropriation year that has an account balance, a contract amendment will be written and sent to the library for the contractor's (usually the project director) signature that must be returned to the USL to be forwarded to the Department of Community & Culture for final approval.
4. **Unexpended funds.** Occasionally some libraries cannot expend the entire grant award, either it overestimated the amount of personnel time required to complete the project, i.e., for digitization, or for some other reason. If this should happen, contact the Grants Coordinator or Financial Manager as soon as possible and explain the situation. The State Library can reassign federal funding to other projects, but must know this well in advance of the contract termination dateline.
5. **Contract cancellation.** If the project cannot be implemented or completed, the project director must contact the Grants Coordinator as soon as possible who will then initiate a contract cancellation procedure.
6. **Personnel changes.** Needless to say, anytime there is a change in the status of either the library director or project director and that person is no longer at the library, the director must notify the Grants Coordinator so that another project director can be appointed and the project completed within the contract period.

G. **How to Obtain and Expend LSTA Grant Funds**

1. **How to obtain grant funds.** The process of obtaining LSTA funds to pay for grant project purchase (i.e., equipment, services, personnel costs) is quite simple, and insures that all federal funds are expended according to State of

Utah guidelines and federal regulations. The project director may expend funds only after receiving the official signed and numbered copy of the contract and only after following local or state government procurement requirements.

2. **Complete the *Payment Request* form (Attachment G).** This form is included in the contract and is also available online. Project directors should make multiple copies of this form if they plan to make periodic requests for payment from the State Library, and fill in the amount requested for reimbursement or advance payment. *Payment Request* forms may be faxed (801-715-6767) to the attention of the Business Office. Grant funds will be sent upon request to the address specified in the contract.
3. **Submit invoice copies.** When a project director submits a *Payment Request* form, they must also submit copies of the invoices, personnel vouchers, cancelled checks or other proof of purchase for grant project items. Each vendor invoice must be dated, include quantity and unit cost and accurate descriptions of goods and/or services provided. Also, every document presented with the *Payment Request* form must include the LSTA Grant contract number.
4. **Reimbursement option.** Most of Utah's larger public and academic libraries and school district offices are sufficiently funded to pay for grant purchases up front and choose this payment option.
5. **Advance payment option.** Some of Utah's rural and smaller public libraries do not have funds in their budget to wait for reimbursement from the USL. These libraries may choose to request advance payment, but an advance payment comes with a restriction. The project director must expend the payment on grant purchases within a 30-day period from the date that the request is made or be subject to a federal interest charge. The concern is that by the time the project director receives the advance payment, they, in reality, have less than 30 days to expend it.
6. **Federal drawdowns.** Although the Business Office may draw down federal funds twice a month, they don't always do so. Project directors are advised to contact the Financial Manager (801-715-6771) to find out just when the next draw down will occur. Once this happens, reimbursement or advance payment checks are mailed within a week to the libraries.
7. **Proof of match expenditures.** Attach to the *Payment Request Form* copies of vendor invoices, accounting payment vouchers, canceled checks, receipts and/or other documentation verifying that reimbursable and matching funds were expended. The final 10% of the grant award will be paid upon receipt of documentation of all grant expenditures, including match.

H. **Requirements For Financial Records And Audit Trails**

1. **State Library access to grant records.** Representatives of the USL must have access to the project's financial records. All records documenting the expenditure of funds for approved projects must be kept together. These records should not be interfiled with other library or governmental records. The USL maintains LSTA competitive grant files for five years after the contract termination date. Libraries should maintain files for a minimum of five years also. Keep the following in a separate file for each grant received to assist in the preparations for eventual financial reviews: copy of the original application, grant notification letter, copy of the finalized contract, any change requests and other correspondence with the USL and/or vendors related to the grant, copies of the interim report, final expenditure report, and final summary

& evaluation report, local audit report, and anything else to expedite a field audit.

2. **Necessary documents.** USL auditing personnel will request copies of invoices and checks proving total expenditure of grant awards and deposits of grant payments. These copies should be e-mailed, faxed or snail mailed to the Utah State Library Division, attention: business office, 250 North 1950 West, Suite A, Salt Lake City, UT 84116-7901. (Fax number, 801-715-6767).

If maintained in a separate file, the ledger entries and items noted below will provide a centralized source of information for all accounting procedures and a summary for each grant file. The four items, which should be kept in each related grant file, are: the grant contract/amendments or changes; copies of grant deposits; bills and invoices; and payments. Documentation should be kept for both matching and federal funds.

- a) **Contract/Amendments, Changes:**
Keep the original signed contract. If contract changes or amendments have been made, include signed documentation showing revisions in contract amounts and/or project objectives.
- b) **Grant Deposits:**
Keep a copy of each grant payment check received from the USL with a copy of the deposit slip attached showing date of deposit or a copy of the deposit slip which specifically identifies each grant payment received, amount of deposit, and date of deposit. If matching funds are being received, documentation is needed for receipt and deposit of those amounts.
- c) **Bills and Invoices:**
Keep a copy of each invoice that contains any of the following information:
 - Identification of individual or company name
 - Identification of grant being used and the contract number of the grant
 - Date of invoice
 - Goods or services provided
 - Amount due
- d) **Payroll expenses documentation:**
Document all payroll expenses. Keep a copy of all time cards related to the grant. Time cards should show name of employee, dates and hours worked, wages paid, payroll deductions, pay period, and amount of the check. This is required. Match the information for the time card information with the employee's name. Keep a copy of each paycheck or specific entry in payroll ledger.
- e) **Payments:**
 - Retain a copy of all checks issued to pay invoices or bills.
 - The amount of the check should match the total amount due on the invoice, the total due for a group of invoices. Records should identify the vendor and the date of payment.
- h) **Endorsement by the vendor will prove the vendor's receipt of payment.**
- f) **Reminders for Financial Reviews**
 - Journal or ledger entries alone are not acceptable documentation for financial reviews.
 - Actual documents or legible copies must be provided to guarantee successful reviews of grant receipts and expenses.

- Audit or paper trails should document grant expenditures. Without them, reimbursement or partial reimbursements of grant funds to granting agency may be required.

I. **Desk and Field Audits, Final Closeout Procedures, Single Audits**

1. **Desk Audit.** As the Business Office receives *Payment Requests* and copies of invoices for each grant, they will match these up with the project budgets as reflected in the contract budgets. Project directors may be contacted to explain any payment confusion, missing supporting documents, etc. Usually most problems can be resolved over the phone.
2. **Field Audit.** If the Business Office needs more information from the project director, they will arrange to visit the library. Sometimes these visits are like post-site visits. The Grants Coordinator usually accompanies someone from the Business Office on these post-site visits. USL staff appreciate seeing how LSTA funds were used in the libraries and learning about the impact of the grant project on the library patrons.
3. **Final Grant Closeout Procedures.** Sometime each June the Financial Manager will present the Grants Coordinator a spreadsheet with the entire Grant project expenditure balances. The Grants Coordinator will contact all project directors with fund balances at least 90 days before contract termination date or by June 15 of the award year. The Grants Coordinator will send out an initial e-mail to encourage project directors to expend all their grant funds as soon as possible. Further monitoring by phone, if need be, will continue until all grant projects have zeroed their balances.
4. **Single Audit.** Federal grant recipients may be subject to the provisions of the Single Audit Act as amended in 1996 (31 U.S. 7501 et. seq.), Audits of State and Local Governmental Units, and OMB Circular A-133, Audits of Higher Education and other Non-profit Institutions. Utah public libraries may be included in the Single Audit of their units of local government if more than \$500,000 of federal funds is expended in a single year.
5. **Minimize Any Surprises.** There can be many reasons for grant projects to have outstanding balances late in the contract period. Sometimes a project director will wait until all purchases are made before submitting a *Payment Request* for the total amount. Sometimes vendors haven't delivered their hardware, software, or other equipment to the library. (Sometimes vendors haven't yet developed the software.) The Grants Coordinator needs to know these reasons so that libraries don't jeopardize their grant awards. All purchases must be received and paid for by the library before the contract termination date or risk voiding the grant contract.

XIV. **GRANT REPORTING REQUIREMENTS & PROCEDURES**

- A. **Comply with all reporting requirements.** LSTA Grant recipients must complete all reporting requirements. Failure to complete the final reports will disqualify a library for consideration in future grant competition. Copies of the required report forms are attachments to the contract and can also be accessed online. Save the forms to Word before completing.
- B. **Interim Report.** The project director will submit an *Interim Report* to USL within 90 Days of receiving the grant contract. No *Interim Reports* are required for Mini Grants. One *Interim Report* will be required for Regular and Major Grants. Dates for the *Interim* and *Final Summary and Evaluation Reports* are specified in the grant contract.

- C. **Final Expenditure Report.** Project directors may submit the *Final Expenditure Report* any time before the contract termination date if the grant project is completed, but it must be submitted by the contract termination day – September 15 of the contract award year. Mail one copy of this report with official signatures to the Financial Manager.
- D. **Final Summary & Evaluation Report.** Project directors may submit the *Final Summary and Evaluation Report* any time before the contract termination date if the grant project is completed, but it must be submitted by the contract termination day – September 15 of the contract award year unless the Grants Coordinator has approved an extension deadline for this report. E-mail one copy and mail two hard copies of the *Final Summary and Evaluation Report* to the Grants Coordinator by the required date as indicated in the contract.
- E. **IMLS Annual Report.** Project directors should understand that the Grants Coordinator incorporates the information they include in the *Final Summary and Evaluation Report* into the IMLS annual report. IMLS uses this data from all the states to report to Congress each year on the significance of LSTA funds to libraries to sustain current support and to insure reauthorization of LSTA after 2007.

XV. APPENDICES

A.

UTAH L.S.T.A. ADVISORY COUNCIL
State Library Division – 2006-2007
UTAH L.S.T.A. ADVISORY COUNCIL
State Library Division – 2006-2007

ACADEMIC LIBRARIES

Small

Jon Ostler, Chair, (1st Term, 6/30/08)

Library Dean

Lucy A. Phillips Library

Snow College

jon.ostler@snow.edu

Large

Kenning Arlitsch, (2nd Term, 6/30/07)

Marriott Library, University of Utah,

Head of Information Technology

kenning.arlitsch@library.utah.edu

SCHOOL LIBRARIES

School Site Representative

Nan Allsen, (2nd Term, 6/30/09)

nanette.allsen@nsanpete.k12.ut.us

State Representative

Georgia M. Loutensock

(ex-officio)

State Office of Education,

Specialist for Library Media

Georgia.loutensock@schools.utah.gov

District Level

Dennis Morgan, (1st Term, 6/30/07)

Coordinator of Library Media Services

Murray School District

dmorgan@mury.k12.ut.us

SPECIAL LIBRARIES

Utah State Historical Society

Linda Thatcher, (1st Term, 6/30/08)

Historical Collections Coordinator

lindathatcher@utah.gov

PUBLIC LIBRARIES

Small

Ronald K. Jenkins, (2nd Term, 6/30/08)

Logan Public Library, Director

rjenkins@loganutah.org

Large

Gretchen Freeman, (1st Term, 6/30/07)

Associate Director,

Reference & Technology

Salt Lake County Library System,

gfreeman@slco.lib.ut.us

LIBRARY USERS

Minority and Socio-economically

Disadvantaged Persons

Edwin E. Espinel, (1st Term, 6/30/07)

Director, Even Start Program

Edwin.espinel@Granite.k12.ut.us

Urban Library User

Hugh M. Zumbro, (2nd Term, 6/30/09)

Murray Public Library

hzumbro@comcast.net

Rural Area Library User

(Vacant) *(1st Term, 6/30/06)*

Public Library Trustees

Andrew Yergensen, (1st Term, 6/30/08)

Wasatch County Library

ayergensen@co.wasatch.ut.us

Library Services for Disabled Persons

Linda Braithewaite, (1st Term 6/30/06)

Center for the Blind, Technology Specialist

lbraithw@usor.state.ut

2. CONFLICT OF INTEREST STATEMENT

Council members are expected to conduct their participation on the LSTA Advisory Council in a professional, objective and impartial manner. Each Council member represents either a type of library or a user of a specific type of library, which may create a potential conflict of interest and adversely affect judgments regarding Council discussions and decisions. Furthermore, a conflict of interest may arise not only from a member's employing institution, but also from a position of trusteeship on a library board, and even place of residence.

It is the dual responsibility of the Council Chair and all members to declare any and all potential conflicts of interest before proceeding on to discussion of grant applications. He/she should limit participation to answering questions and otherwise refrain from participating in any discussion or comments on behalf of the affiliated library. In addition, he/she should not vote on motions relating to the source of the conflict of interest.

3. UTAH LSTA ADVISORY COUNCIL JOB DESCRIPTION

Federal Requirements

Unlike the former LSCA Advisory Council, the establishment of the LSTA Council membership is not mandated by federal regulation. However, the State Library Board has determined it to be in the interest of all qualified libraries that an LSTA Advisory Council be constituted to oversee the administration of the new federal program. The Council is to be broadly representative of the public (including public institutional), school, academic, private and research libraries, and libraries serving the handicapped; and of persons using such libraries, including disadvantaged persons within the state. The Council's role is to advise the State Library Board on the development of policy matters arising in the administration of the *LSTA Five-Year Plan, 2003-2007* and assist in the evaluation of activities under the LSTA Program.

a) General Duties

The thirteen members of the Utah LSTA Advisory Council advise the State Library Division in the distribution and use of federal *Library Services and Technology Act (LSTA)* funds, which are a vital resource for the expansion and improvement of Utah's public libraries. The Council's role is to advise the State Library Board on the development of policy matters arising in the administration of the LSTA Five-Year Plan and assist in the evaluation of activities under the LSTA program.

b) Terms

Appointments to the Council are for initial terms of three years, with reappointments for an additional three years being an option. The State Library Board approves final appointments to the Council.

c) Council Activities and Time Commitments

Total time commitment per year is 4-7 days.

The Council meets a minimum of two times a year. Most meetings, including travel time, take approximately eight hours. For each meeting, Council members may spend up to eight hours in preparation, reading grant applications, annual programs, and related items. During these meetings, Council members review Utah's long-range and annual program plans for LSTA funded statewide services programs and the competitive grants program. They also review LSTA priorities and goals, recommend Utah priorities for LSTA, and review and make recommendations for Utah's *LSTA Program Handbook*, applications, reports, and evaluations.

In the process of reviewing LSTA grant applications, Council members may make visits to applicant libraries throughout Utah to determine and evaluate the need for grant funding and conduct post site visits to evaluate projects after they have been implemented.

- d) Attendance Requirement
Any member with two unexcused absences within one year will be replaced on the Council.
- e) Travel Reimbursements
Council members may be reimbursed for mileage to and from Council meetings. Overnight travel is at USL expense. Actual mileage and amounts eligible for reimbursement are based on State policy and guidelines.

B. UTAH LSTA FIVE-YEAR PLAN GOALS AND PROGRAM CHART

C. ASSISTIVE TECHNOLOGY – SUGGESTED EQUIPMENT OPTIONS

D. SPECIAL REQUIREMENTS FOR NETWORKED INFORMATION DIGITIZATION PROJECTS

- E. ACKNOWLEDGMENT TO IMLS AND THE STATE LIBRARY
–CREDIT WHERE CREDIT IS DUE

F. IMLS/LSTA DATA ELEMENT DOCUMENT

G. GRANT APPLICATION ASSESSMENT FORM (GAFF)

XVI. APPLICATION & REPORTING FORMS

A. INTENT TO APPLY FORM (**REQUIRED**)

B. LSTA APPLICATION FORM

C. INTERIM REPORT FORM (For Regular and Major Grants)

D. FINAL EXPENDITURE REPORT

E. FINAL SUMMARY & EVALUATION FORM

F. PAYMENT REQUEST FORM